



Updating Cognizant Technical Officer (CTO) and Managing Organization Information in Phoenix

A Mandatory Reference for ADS Chapter 621

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POLICY

USAID/General Notice
M/MPI AND M/OAA
09/24/2004

Subject: Updating Cognizant Technical Officer (CTO) and Managing Organization Information in Phoenix

The information in this notice will be included in a future revision to ADS 621, Obligations.

PURPOSE:

To ensure that the CTO Name and Managing Organization information remains current in Phoenix.

BACKGROUND:

The Office of Inspector General (OIG) cited in their Government Management Reform Act (GMRA) FY 2003 audit that CTO information in the Accrual Reporting System (ARS) was unreliable and that many of the CTOs identified by the system were not the CTOs responsible for the corresponding obligations. To address this issue and to make the accruals report in the ARS (which pulls from Phoenix) more accurate, the Bureau for Management, Office of Financial Management, Accounting Division (M/FM/A) coordinated a one-time exercise with the Bureaus/Offices for 3rd quarter 2004 accruals to update and load "CTO Name" and "Managing Organization" information directly into the obligation in Phoenix. Modifications to the NMS/A&A-to-Phoenix interface were completed on June 28, 2004. From now on, in order to ensure that the CTO Name and Managing Organization information remains current, all Bureaus/Offices must follow the procedures outlined below.

ESTABLISHING CTO NAME AND MANAGING ORGANIZATION INFORMATION IN NMS AND PHOENIX

These procedures apply to all commitment documents for NMS/A&A obligations and non-A&A obligations, including credit card purchases, travel, training, and other miscellaneous commitments/obligations.

1. On all Phoenix commitment documents, the Bureau/Office must enter the "Managing Organization" of the CTO or proposed CTO in Phoenix on the "Issu" minor tab located under the Office Address major tab. The Managing Organization information created on the commitments will pass to the Phoenix obligation.

- For Acquisition & Assistance (A&A) obligations only: If the "Issu" tab is inadvertently left blank, the Bureau/Office of the CTO selected by the Contracting Officer/Agreement

* An asterisk indicates that the adjacent material is new or substantively revised.

Officer (CO/AO) in NMS/A&A will pass to the Managing Organization field in the Phoenix obligation.

- For non-A&A obligations only: If the "Issu" tab is inadvertently left blank, the person creating the obligation must enter the Managing Organization.

2. On all Phoenix commitment documents, the Bureau/Office must enter the appropriate "CTO" name in the minor tab called "COTR," which is also located under the Office Address major tab. The minor tab called "COTR" represents

- The CTO (for commitments that will result in a modification or amendment to an existing A&A award for which the CO/AO has designated a CTO);

- The Bureau/Office's proposed candidate to be the CTO (for a new A&A award for which there is no designated CTO until after the CO/AO makes the award); or

- The individual in the Managing Organization who will be the obligation manager ("CTO") for non-A&A obligations.

3. When making an award in NMS/A&A, the CO/AO must designate a CTO by selecting a "CTO Name" from the pick-list in NMS/A&A in consultation with the Bureau/Office. The "CTO Name" will pass from NMS/A&A to the Phoenix obligation.

4. For awards with multiple commitments, the Managing Organization created on the commitments will pass to the Phoenix obligation as long as ALL the commitments list the same Managing Organization. For example, if the AFR, LAC, and E&E Bureaus provide funding to an EGAT award, three commitments are created in Phoenix and the three commitments should designate EGAT as the Managing Organization. If the Managing Organization is inconsistent among the commitments, the Bureau/Office of the CO/AO-selected CTO in NMS/A&A will pass to the Managing Organization of the obligation in Phoenix.

5. For unfunded amendments in NMS/A&A (which do not create an obligation), if the CO/AO, or any individual in the Bureau/Office with the CO role, changes the CTO name, the system will automatically update the CTO Name in all open Phoenix obligations under that award.

MONTHLY NMS ROLES REPORT

In order to keep the CTO names and corresponding roles and organization symbols current in the NMS, the pick-list of eligible CTOs must be kept up-to-date by following the procedures outlined below:

1. The Bureau for Management, Office of Acquisition & Assistance (M/OAA) Solutions Center must ensure that all changes regarding names, roles, and organization symbols are reflected in NMS/A&A pick-list. In addition, the Center must provide the Bureau

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Transition Coordinators (BTCs) a monthly NMS Roles report for their review and update.

2. Upon receipt of the monthly NMS Roles report, the BTCs will

- Ensure that all CTOs are assigned the "AA CTO" role.
- Canvass the offices within their Bureau/Office to determine if there are new employees to be designated as CTOs, including employees who transferred from another Bureau/Office who already have the CTO role, and if there are CTO names on the report that are no longer CTOs due to a change in duties, reassignment to another Bureau/Office, retirement, etc.
- Annotate any changes in names, roles, and organization on the report and return it to the M/OAA Solutions Center.
- If the BTC sees that a CTO has left, he or she should remind the CTO supervisor or office chief to notify the CO/AO that a CTO needs to be redesignated for ongoing awards previously managed by that CTO.

ONGOING CTO NAME CHANGES

If, at any time, CTO names need to be added to the pick-list in NMS/A&A, BTCs must complete an NMS/Phoenix User Request Form and email the completed form to the M/OAA Solutions Center (OAA_Solution Center) mailbox and Phoenix Access Security (Phoenix Access Security Requests) mailbox. If a CTO is already listed in the NMS/A&A pick-list but the managing organization information needs to be updated, the BTC may send an e-mail to the M/OAA Solutions Center to request the change in Managing Organization information.

QUARTERLY VERIFICATION REVIEWS

To ensure that CTO Name and Managing Organization information in the ARS remains current, the following procedures must be followed:

1. M/FM/A will provide a list of material awards (i.e., obligations greater than \$10,000 or unliquidated balances greater than \$2,000) to the Bureau/Office ARS Coordinator on a quarterly basis.
2. The ARS Coordinator will review the list to ensure the CTO Name and Managing Organization information is correct for each award, including expired awards. If discrepancies are found, corrections should be noted on the list.
3. The marked-up list should be returned to the Chief, M/FM/A, who will correct the managing organization of any non-A&A obligations and provide the marked-up list,

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showing the old CTO and the corrected new CTO for A&A awards, to the M/OAA Solutions Center.

4. The M/OAA Solutions Center must notify the responsible CO/AO of any changes so that M/OAA can make any necessary updates of CTO Name and Managing Organization information in NMS/A&A.
5. For those Bureaus/Offices that have COs/AOs or officials who have been assigned the AA Obligation Recorder role within their Bureaus/Offices, the ARS Coordinator must ensure that the responsible individual updates the CTO Name and Managing Organization information in NMS/A&A.

UPDATING CTO NAMES IN NMS/A&A

NMS/A&A, Phoenix, and the ARS must have up-to-date CTO information for the Agency to properly manage the various financial reporting requirements that all these systems support. COs/AOs MUST ENSURE THAT CTO DESIGNATIONS ARE CURRENT AND ACCURATE IN NMS/A&A FOR THEIR A&A AWARDS. To correct the CTO assigned to an award in NMS and Phoenix, the following procedures must be followed:

1. COs/AOs in USAID/W must permanently and promptly assign/reassign CTO designations. Because of the additional work involved in modifying agreements, COs/AOs must not name the CTO in the award document. See attached AAPD 04-10 "Standardized Model Letters, for Designating the Cognizant Technical Officer (CTO) for Contracts, Grants, and Cooperative Agreements" issued August 26, 2004 (see the General Policy Notice issued September 13, 2004). The CTO name, however, will reside in NMS and Phoenix, and regardless of whether or not the A&A award contains the name of the CTO, the CO/AO must ensure that the CTO name in NMS/A&A is correct in accordance with AAPD 04-10, Section 3.(i).
2. For existing awards that do not contain the name of a CTO, when updating the CTO name in the A&A Support module, the CO/AO must also issue a designation letter to the CTO as needed. [NOTE: The A&A Support module is used to perform reassignments. Users must know the current employee contained in the record in order to reassign to another employee either permanently or temporarily. In addition, in order for the CTO reassignment to copy to Phoenix, the CO/AO or Obligation Recorder must be logged into Phoenix at the same time he/she makes the change in A&A.]
3. For existing awards that do contain the name of a CTO, the CO/AO must still ensure that the CTO name is correct in NMS/A&A by updating the name using the A&A Support module. The CO/AO must issue a designation letter as needed but must also modify the award to remove the CTO name using the A&A Administration module at the earliest practicable opportunity.

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4. If the nominated CTO candidate is not listed in the drop-down list in NMS/A&A as a possible CTO for the requesting Bureau/Office, COs/AOs must notify the requesting office that the award cannot be finalized in NMS until the nominated individual has been added to NMS (see "Ongoing CTO Name Changes" above).

Missions will be provided guidance on the ARS and updating CTO information as Phoenix is rolled out to the field. The issue of updating CTO information for transferred USAID/W obligations with CTOs in the Missions will also be addressed.

DEFINITIONS

Managing Organization: The organization selected to manage a designated activity.

AA CTO: The individual who is assigned this role is responsible for performing CTO duties designated in a letter from the CO/AO. See attached AAPD 04-10 "Standardized Model Letters, for Designating the Cognizant Technical Officer (CTO) for Contracts, Grants, and Cooperative Agreements" issued August 26, 2004 (see the General Policy Notice issued September 13, 2004).

AA Obligation Recorder: The individual in a Bureau/Office designated to record the obligation in A&A on behalf of a Bureau/Office Assistant Administrator (AA) or Deputy AA.

Attachment: AAPD 04-10 "Standardized Model Letters, for Designating the Cognizant Technical Officer (CTO) for Contracts, Grants, and Cooperative Agreements"

Point of Contact: Any questions concerning this Notice may be directed to Gloria White, M/MPI, (202) 712-5339 (for general information), or Judy Britt, M/OAA/CAS, (202) 712-0397 (for questions concerning the Monthly NMS Roles Report and Updating CTO Names in NMS/A&A), or Jeff Carr, M/FM/A, (202) 712-0124 (for questions concerning the Quarterly Verification Reviews).

Notice 0958

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IU6_0413_092804_cd37	09/24/2004	09/24/2004	09/13/2005	CD 37	This Notice will become inactive once the information in it becomes part of ADS 621.

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